SUBJ: CIVIL AVIATION SECURITY EVALUATION PROGRAM

1. <u>PURPOSE</u>. This order provides guidance and describes the purpose and procedures to be used in conducting the Civil Aviation Security (CAS) Evaluation Program.

2. <u>DISTRIBUTION</u>. This order is distributed to the division level and staff in the Office of the Assistant Administrator for Civil Aviation Security and to the Offices of Civil Aviation Security Intelligence, Civil Aviation Security Operations, Civil Aviation Security Policy and Planning, and Civil Aviation Security Program Management; to the branch level in the Civil Aviation Security Divisions in the regions and centers; and a limited distribution to all Civil Aviation Security Field Offices.

3. <u>CANCELLATION</u>. Order 1650.13, Civil Aviation Security Evaluation Program, dated November 22, 1983, is canceled.

4. <u>EXPLANATION OF CHANGES</u>. This order supports the expanded mission of the Office of Civil Aviation Security and reflects the changed CAS organizational structure. It provides specific information for CAS offices to implement the requirements of Order 1800.2F, Evaluation and Appraisal of Agency Programs, which prescribes policies and standards governing the evaluation and appraisal of agency programs and activities. Order 1800.2F also assigns responsibilities for conducting and monitoring evaluations and appraisals, reporting on results, tracking the implementation of adopted recommendations, and analyzing any discernible trends.

5. <u>DEFINITIONS</u>

   a. An evaluation is a formal assessment of the effectiveness of programs and activities under the direction of ACS-1, measured against specific program objectives, technical standards, and administrative policies. For the purpose of this order, evaluations do not include informational processes such as quarterly program reviews, status reporting systems, and risk assessment activities under the Federal Managers' Financial Integrity Act (FMFIA).

   b. The CAS evaluation staff is ACZ-100 and/or regionally-designated evaluation officers.

c. The evaluation officer is an analyst or other staff member who combines technical, interpersonal, and consulting skills in the planning for and conduct of an evaluation.

d. An evaluation of effectiveness issues identifies and analyzes program objectives, measures program results, assesses management effectiveness, and provides areas for management action to improve program operation.

e. An evaluation of compliance issues measures the extent to which CAS offices implement and operate programs in accordance with agency policy, procedures, or regulation.

f. The prospectus is the plan for the conduct of the evaluation and serves as the written contractual agreement between the CAS program office requesting the evaluation and the CAS evaluation staff. It identifies the responsible office, provides background information on the program activity to be evaluated, explains the purpose, specific objectives, and the scope of the evaluation, describes the approach to be used in data collection, establishes milestones for specific tasks in the conduct of the evaluation, and identifies personnel requirements necessary to complete the evaluation.

6. SCOPE. This order applies to the review and evaluation of all CAS programs in Washington headquarters, regions, and centers. These programs include those listed in Order 1650.7C, Civil Aviation Security Program Guidelines, operating in the regions and centers, programs operated out of Washington headquarters, and others as defined by the Assistant Administrator for Civil Aviation Security, ACS-1.

7. OBJECTIVES. The CAS evaluation program is designed to:

a. Assess overall program effectiveness.

b. Ensure that CAS programs and associated activities are administered in accordance with applicable laws, rules, regulations, orders, policies, directives, and written guidance.

c. Appraise the effectiveness of program guidance provided by all elements of the CAS organization and identify areas where improvement or revision is needed.

d. Establish program standardization, where appropriate.

e. Promote increased efficiency and effectiveness in managing, administering, and operating CAS programs by exchanging information, ideas, methods, and systems between Washington headquarters offices, regions, and centers.

   f. Determine the degree, quality, and timeliness of
service provided to users of the service.

   g. Ensure that performance is measured against established
goals and objectives.

   h. Encourage open, honest communications between management
and employees, and among the agency, industry, and the general
public.

   i. Assess adequacy of resources to perform designated
functions.

   j. Identify sound management practices and facilitate their
application throughout CAS.

   k. Ensure that managers, supervisors, and employees use
effective human resource management practices.

8. RESPONSIBILITIES. CAS program evaluations are an integral
part of every CAS office's managerial responsibility. CAS
managers are responsible for the effectiveness and efficiency of
the programs and activities for which they are accountable.
Senior management support is critical for obtaining the staff
cooperation necessary for conducting evaluations and for
effecting needed change. Management also supports the evaluation
program by displaying willingness to release key staff people to
serve as ad hoc evaluation team members.

   a. Office of Civil Aviation Security Program Management.
This office is responsible for:

      (1) Developing CAS evaluation program and procedural
guidance for use by all CAS offices and divisions.

      (2) Preparing the CAS Fiscal Year Evaluation Plan for
submission to the Associate Administrator for Aviation Safety,
ASF-1, by September 1 each year (See Appendix 1).

      (3) Preparing the CAS Annual Accomplishment Report for
the preceding fiscal year for submission to the Appraisal Staff,
AXQ-30, by November 1 of the current fiscal year.

      (4) Conducting regional and national evaluations (which
will include effectiveness and compliance issues); conducting
evaluations of the overall effectiveness of CAS programs and the
effectiveness of program management; conducting studies of issues
which involve CAS objectives or the public interest; and
identifying areas for management action that lead to improvements
in program effectiveness, emphasis, scope, content, or direction.

(5)   Providing senior management with insights and interpretations of operational and management data that can directly affect management operating practices of the FAA and industry.

(6)   Providing advice and assistance to the CAS offices and divisions in implementing the evaluation objectives that assist managers in decisionmaking and meeting agency and CAS evaluation policy.

(7)   Working with regional evaluation officers to prepare a single, standardized data collection instrument (DCI) to be used by each region for evaluating program effectiveness and compliance. A distinct DCI will be formulated to meet the needs of each evaluation. This will eliminate duplicative effort associated with each region preparing its own DCI and assure the coverage of key areas of national interest. A standardized DCI will provide the means to achieve consistent data collection and facilitate a national data base compilation for each program. Regions may supplement the uniform data collection instrument to cover any program aspects unique to that region. The same DCI will be used as the basis for subsequent evaluations of that program, to provide consistent data for trend analysis.

(8)   Providing consulting services, upon request, to assist in the design of an evaluation, selection of data collection methodology, development of DCIs, and interpretation of data.

(9)   Providing for formal and informal training to CAS headquarters and field evaluators and teams.

(10)   Ensuring that joint evaluations are undertaken where practicable to conserve resources and to minimize the impact on organizations being evaluated.

(11)   Reviewing status of all CAS evaluations during the fiscal year, monitoring the implementation of management action for the identified areas, and analyzing overall trends.

(12)   Serving as the liaison between CAS and evaluation organizations outside of CAS, including the Appraisal Staff, AXQ-30, and the Office of Integrated Safety Analysis. This includes coordinating copies of the CAS Office Directors' action plans and follow-up reports with the Executive Director for Acquisition and Safety Oversight, AXQ.

(13)   Maintaining a master file of all CAS evaluations for the purpose of trend analysis, avoiding duplication of effort, and as a way of sharing common findings.

b.   The Washington Headquarters Civil Aviation Security
Offices.   These offices are responsible for:

(1)   Contributing to the annual CAS evaluation plan.
ACS-1 will approve this plan.

(2)   Contributing to the Annual Accomplishment Report
which is reported to AXQ in accordance with Order 1800.2F.

(3)   According evaluation programs the requisite
priority when resources are requested.

(4)   Developing an action plan for submission to ACS-1
through the CAS evaluation staff within 30 days of receiving the
final evaluation report.   It should describe planned actions,
time frames for starting and completing changes, decisions made
to resolve disputed findings.   The frequency of subsequent
progress reports will be identified in the action plan, but will
be provided to the CAS evaluation staff for consolidated
submission to ACS-1 no less than quarterly.   Managers will strive
to resolve all follow-up actions within agreed-upon time frames
established in the action plan.

c.   Regional CAS Divisions.   Regional CAS Divisions are
responsible for:

(1) Designating an evaluation officer to administer the
evaluation program and coordinate evaluation information and
assistance requirements with the CAS evaluation staff.

(2) Conducting regional and participating in national
evaluations (which will include effectiveness and compliance
issues); conducting evaluations of the overall effectiveness of
CAS programs and the effectiveness of program management;
conducting studies of issues which involve CAS objectives or the
public interest; and identifying areas for management action that
lead to improvements in program effectiveness, emphasis, scope,
content, or direction.

(3) Developing annual evaluation plans covering the
functional areas under their direction.   The plans are to
include:

(a)   A schedule that shows the organizations, programs, and activities to be evaluated,

(b)   The scope of the evaluation,

(c)   Resource requirements, and

(d)   Planned start and completion dates (See Appendix 1).

(4)   Submitting the plan to the CAS evaluation staff by August 15 for review, compilation, and submission to ASF-1.

(5)   Contributing to the CAS Annual Accomplishment Report which is reported to AXQ in accordance with Order 1800.2F.

(6)   Ensuring that evaluations are conducted on division programs as needed.

(7)   Developing an action plan for submission to ACS-1 through the CAS evaluation staff within 30 days of receiving the final evaluation report. It should describe planned actions, time frames for starting and completing changes, and decisions made to resolve any disputed findings. The frequency of subsequent progress reports will be identified in the action plan, but will be provided to the CAS evaluation staff for consolidated submission to ACS-1 no less than quarterly. Managers will strive to resolve all follow-up actions within agreed-upon time frames established in the action plan.

9. EVALUATION SCHEDULING. The first determining factor for scheduling national and regional evaluations is the criticality of need.   Other factors are the availability of monetary and personnel resources. All programs will be evaluated at least triennially on a rotating cyclical basis or in compliance with Order 1800.2F.

a. Planning. Prior to the beginning of each fiscal year, the CAS evaluation staff meets with the CAS office directors to determine what programs and activities they are interested in evaluating during the year. The CAS evaluation staff has a consulting relationship with the CAS office director that provides for a two-way information flow in which the CAS evaluation staff, based on their experience, may suggest programs and activities for evaluation.

   b. Unscheduled Evaluations. Headquarters evaluation
schedules are usually flexible enough to serve client needs for
short-term evaluations that arise during the fiscal year. If the
need arises to perform an unscheduled evaluation, the evaluation
staff will attempt to accommodate priority issues.

   c. Tracking. Once the evaluation plan is established,
information regarding the topic, the intent or objectives of the
evaluation, planned starting and completion dates, and resource
requirements are entered into a tracking system maintained by the
CAS evaluation staff. The system facilitates CAS-wide evaluation
planning and staffing.

10. EVALUATION REPORTS

   a. Findings. Evaluation reports may include both positive
and negative findings, discussion, and management action items.
It is equally as important to inform the client of aspects that
are going well as it is to point out areas needing improvement.
Positive findings help form the basis for wider application of
effective management techniques. Likewise, it is important to
identify deficiencies to assist in improving program performance.
Negative findings are presented constructively, with possible
remedies identified.

   b. Disagreement Resolution. In most cases, the program
office will have an opportunity to review the draft report to
ensure the accuracy of technical data; however, once the accuracy
of technical data is verified and the final report is issued,
evaluation findings, conclusions, and items identified for
management action are not negotiated. Collaboration throughout
the evaluation process will reduce the potential for
disagreement. A collaborative working relationship between the
evaluator and the program office staff forms the basis for a
shared understanding of issues and possible corrective actions
addressed in the final report; however, in the event of
disagreement with the findings, the program manager will have the
opportunity to meet with the lead evaluator subsequent to final
report issuance to resolve disagreements and identify alternative
actions. The responsible CAS office director shall resolve any
continuing conflicts and have the resolution cited in the action
plan described in Paragraph 8. Disagreements persisting
following this meeting should be resolved by ACS-1 with the final
resolution cited in the action plan described in Paragraph 8.

   c. Reporting. The lead evaluator should submit the final
report to the client for issuance as agreed with the client and
documented in the prospectus. Time sensitive and other critical
findings shall be reported immediately to the requesting
official.

d. Official use only. Evaluation reports shall be marked
"FOR OFFICIAL USE ONLY (PUBLIC AVAILABILITY TO BE
DETERMINED UNDER 5 U.S.C. 552)." Requests for disclosure shall
be handled in accordance with Order 1200.23, Public Availability
of Information, and Order 1600.15D, Control and Protection of
"FOR OFFICIAL USE ONLY" Information, and where applicable,
FAR Part 191, Withholding Security Information from Disclosure
under the Air Transportation Security Act of 1974. Classified
information shall not be included in evaluation reports.

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ACS FY-1993 EVALUATION PLAN

Office Conducting Evaluation	Program	Location	Evaluation Objectives	Resource Estimate	Est. Start	Est. Comp.
AXX-700	Air Carrier Security Inspection Program	4 sites	Review inspection process of specific air carrier stations.	3 staff $ costs	10-92	3-93
AXX-700	Personnel Security Program	AXX-710	Evaluation of the Personnel Security Program.	AXX-703 staff	9-92	10-92
AXX-700	Administrative and Operational Programs	Regional Office and 3 other sites	Evaluation of CASFO-- relationship to CAS Program Guidelines, Order 1650.7.	2-5 staff	10-92	12-92
AXX-700	Civil Aviation Security Program	4 sites	Evaluation of AXX CAS Operational and Facility/Office Administration programs.	4 staff $ costs	10-92	9-93
ACZ-100	Alternate Work Schedule	HQS	Assess the effectiveness of AWS.	2 staff $ costs	1-93	3-93